

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135

Section 3 Phase 3—Document Compliance

2-396. GENERAL. The document compliance phase is that part of the certification process when the applicant's manuals and other documents are reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

NOTE: These documents may include paper representation of data intended for display on the airplane; for example, electronic checklists or approved flight manuals. Guidance on the use of electronic checklists is provided in Advisory Circular (AC) 120-64, "Operational Use and Modification of Electronic Checklists." Operators' use of electronic checklists should be consistent with the provisions of AC 120-64 (as amended).

A. Organization. An important responsibility of the certification project manager (CPM) is to organize the certification team's efforts to promptly review the applicant's manuals and other documents. Two key elements useful in planning activities in the document compliance phase are the schedule of events and the compliance statement. The schedule of events determines what will be examined and when. The previously agreed upon schedule of events will determine the priority of items to be reviewed and any additional inspector support or other Federal Aviation Administration (FAA) resources that will be needed beyond the composition of the basic certification team. The document compliance phase is an intensive process and will most likely require additional resources to accomplish necessary tasks in a timely manner. The Certificate-Holding District Office (CHDO) certification team may be augmented by other FAA resources.

B. Plan for Review. The plan for review should ensure that each of the required manuals or documents submitted by the applicant will be reviewed in accordance with procedures and criteria outlined in other volumes of this handbook. The compliance statement directs the inspector to the location in the applicant's manuals where a compliance procedure is described. The certification job aids (Figures 2-12 and 2-13.) have specific references to direction and guidance on subject matter published in this handbook.

2-397. REVIEW OF APPLICANT'S SUBMISSIONS. During this phase, members of the certification team evaluate and approve or accept the applicant's manuals and any other required documents. Review of the applicant's submissions should be accomplished by simultaneous reference to Title 14 of the Code of Federal Regulation (14 CFR), the compliance statement, and the appropriate manual or document. The following are examples of typical submissions from applicants during the document compliance phase. This list is not all inclusive, and certain items may not be applicable to a particular type of operation.

- Management personnel resumes outlining proposed management qualifications and compliance histories

- General Operations Manual (GOM)
- General Maintenance Manual (GMM) (may be combined with the GOM for certain 14 CFR part 135 operators)
- Continuous airworthiness maintenance program/manuals (as applicable)
- Weight and Balance procedures
- Training program/manual
- FAA-approved Airplane/Rotorcraft Flight Manual (AFM/RFM)
- Company aircraft operations manual (This is not required if an operator elects to use the manufacturer's approved flight manual.)
- Minimum Equipment List (MEL)
- Configuration Deviation List (CDL)
- Cockpit checklist
- Passenger briefing card
- Noise and environmental assessments
- Destination Airport Analysis Program
- Deviation requests
- Hazardous Materials (HAZMAT)/security program
- Flight Attendant (F/A) manual (as applicable)
- Flight-locating procedures
- Operations specifications (including operations, maintenance, and avionics)
- Maintenance reliability program (optional for 10 or more passengers)
- Continuous analysis and surveillance system (required only for 10 or more passengers under part 135)
- Proving/validation test plan
- Compliance statement
- Compliance with applicable bulletins

2-398. THE COMPLIANCE STATEMENT.**A. Compliance Statement Purposes.**

1) It ensures that the applicant has adequately addressed all regulatory requirements applicable to the proposed operation.

2) It aids the certification team in determining where the regulatory requirements have been addressed in the applicant's manuals, programs, and procedures. In evaluating the applicant's compliance statement, the certification team may find it helpful to compare (in a side-by-side manner) the regulations, the applicant's manuals, and the compliance statement. The compliance statement documents how the applicant intends to comply with each applicable regulation.

B. Statement Purposes Not Served. If the applicant's compliance statement does not serve the preceding purposes, the deficient areas will be communicated to the applicant, and a resolution shall be negotiated. Proving tests will not be conducted until the certification team is satisfied, through its review of the compliance statement and formal application package, that all regulatory requirements have been adequately addressed. The applicant's methods of compliance will be evaluated throughout the demonstration and inspection phase.

2-399. DOCUMENT DEFICIENCIES. If the inspector's review reveals deficiencies in the applicant's submissions, the CPM should negotiate resolution of the deficiencies. The team should be ready to offer suggestions on how to improve the product, but avoid "writing" the applicant's manual. The certification team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules.

RESERVED. Paragraphs 2-400 through 2-415.

Figure 2 – 12, Part 135 Certification Job Aid and Schedule of Events

PTRS Code/ Input	II. Formal Application Phase	Date(s) Received	Date(s) Returned for Changes	Date Accepted	Insp. Initials
	A. REVIEW APPLICANT'S SUBMISSIONS 1. FORMAL APPLICATION LETTER				
	a. Full and official name (legal)				
	b. Mailing address				
	c. Primary operating location (principal operations base)				
	d. Name and address of applicants agent for service				

	e. Key Management Personnel Names				
	2. FORMAL APPLICATION ATTACHMENTS				
	a. Schedule of events				
	b. Initial compliance statement				
	c. Company general manuals (Operations and Maintenance)				
	d. New Hire Training Curriculums, to include: <ul style="list-style-type: none"> • Basic Indoctrination • Crewmember Emergency Training • Pilot—Ground & Flight Training to include: Initial, Upgrade, Transition, Differences & Recurrent, as applicable • Flight Attendant Ground Training to include: Initial, Transition & Recurrent, as applicable * • HAZMAT Training • Initial/Transition Check Airmen Training • Initial/Transition Flight Instructor Training • Security Training 				
	e. Management qualification resumes				
	f. Doc's of purchase/contract/lease/letters of intent.				
	B. EVALUATE FAA RESOURCE CAPABILITY BASED ON SCHEDULE OF EVENTS				
REMARKS:					

	<p>C. FORMAL APPLICATION MEETING</p> <p>1. SCHEDULE MEETING Date:_____ Time:_____</p> <p>2. DISCUSS EACH SUBMISSION</p> <p>3. RESOLVE DISCREPANCIES/OPEN ITEMS</p> <p>4. REVIEW CERTIFICATION PROCESS</p> <p>5. REVIEW IMPACT IF SCHEDULE OF EVENTS NOT MET</p>				
	<p>D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION</p>				
REMARKS:					
	<p>III. Document Compliance Phase</p>				
	<p>A. EVALUATE APPLICABLE TRAINING PROGRAMS</p> <p>1. TRAINING CURRICULUMS</p>				
	<p>a. Basic Indoctrination</p>				
	<p>b. Crewmember Emergency Training</p>				
	<p>c. Pilot Initial Ground & Flight Training</p>				
	<p>d. Pilot Recurrent Training</p>				
	<p>e. Pilot Transition/Upgrade/Differences Training</p>				
	<p>f. Flight Attendant Initial Ground Training (as applicable) *</p>				
	<p>g. Flight Attendant Transition/Recurrent Training (as applicable) *</p>				
	<p>h. Security Training</p>				
	<p>i. Hazardous Materials</p>				
	<p>j. Check Airman/Flight Instructor</p>				
	<p>k. Maintenance Personnel</p>				

	B. EVALUATE MANAGEMENT QUALIFICATIONS				
	1. DIRECTOR OF OPERATIONS (Principal Owner/Principal Ops Official *)				
	2. CHIEF PILOT *				
	3. DIRECTOR OF MAINTENANCE *				
	4. REQUEST FOR DEVIATION LETTER(S) (Section 119.71(f))				
	C. EVALUATE APPLICABLE MANUALS NOTE: See section 135.23 for a detailed list of requirements.				
	1. GENERAL OPERATIONS MANUAL				
	a. Management Persons Required Under Section 119.69(a)				
	b. Applicable OpSpec Sections				
	c. Emergency Plan/Accident Notification				
	d. PIC knowledge of: required airworthiness inspections, reporting and recording of mechanical irregularities, MEL/Logbook knowledge and out station maintenance/servicing				
	e. Procedures for the release for, or continuation of, flight with inoperable or unserviceable equipment				
	2. GENERAL MAINTENANCE MANUAL				
	3.FAA-APPROVED AIRPLANE FLIGHT MANUAL				
	4. AIRCRAFT CHECKLISTS				
	a. Normal				
	b. Abnormal				
	c. Emergency				
	5. FLIGHT ATTENDANT MANUAL (as applicable)				

	6. DESTINATION AIRPORT ANALYSIS (as applicable) *				
	7. MINIMUM EQUIPMENT LIST				
	8. CONFIGURATION DEVIATION LIST (as applicable)				
	9. MAINTENANCE TECHNICAL MANUALS (as applicable):				
	a. Airframe/Powerplant				
	b. Structural Repair				
	c. Parts Catalogue				
	d. Inspection Procedures				
	e. Manufacturer's or Vendor's Manual				
	f. Wiring Manual				
	g. Overhaul Manual				
	10. FUELING/REFUELING PROCEDURES				
	11. FLIGHT LOCATING (as applicable)				
	12. WEIGHT AND BALANCE LIMITATIONS				
	13. HAZARDOUS MATERIAL RECOGNITION AND/OR ACCEPTANCE				
	14. SECURITY PROGRAM				
	15. CONTINUOUS AIRWORTHINESS MAINT. PROG. (if applicable)				
REMARKS:					
	D. OTHER EVALUATIONS (as applicable) *				
	1. AIRCRAFT LEASE				
	2. MAINTENANCE CONTRACTS/AGREEMENTS				
	3. SERVICING CONTRACTS/AGREEMENTS				
	4. EXEMPTION/DEVIATION REQUESTS/ JUSTIFICATION				

	5. AIRCRAFT PROVING OR VALITDATION TEST PLAN (if applicable)				
	6. ENVIRONMENTAL ASSESSMENT				
	7. FINAL COMPLIANCE STATEMENT				
	8. INITIATE OPSPECS PREPARATION DATA SHEET				
	9. TRAINING CONTRACTS				
	10. DEICING/ANTI ICING				
	11. EXIT ROW SEATING (20-30 seat on-demand or commuter 10 or more seats) *				
	12. ANTIDRUG AND ALCOHOL MISUSE PREVENTION PROGRAM				
REMARKS:					
	IV. Demonstration & Inspection Phase				
	A. EVALUATE APPLICANT CONDUCTING TRAINING				
	1. TRAINING FACILITIES				
	2. TRAINING SCHEDULES				
	3. FLIGHT CREWMEMBER TRAINING				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				
	d. Flight Training				
	4. CHECK AIRMAN/FLIGHT INSTRUCTOR				
	5. FLIGHT ATTENDANT TRAINING *				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				

	6. HAZARDOUS MATERIALS				
	7. SECURITY TRAINING				
	8. MAINTENANCE TRAINING				
	a. Mechanics/Repairmen				
	b. Inspection Personnel				
	c. Ground Handling/Serviceing				
	9. Station Personnel				
REMARKS:					
	B. CREWMEMBER TESTING AND/OR CERTIFICATION				
	1. PILOTS				
	2. FLIGHT ATTENDANTS *				
REMARKS:					
	C. AIRCRAFT CONFORMITY INSPECTION				
	D. MAIN OPERATIONS BASE				
	E. MAIN MAINTENANCE BASE				
	F. RECORDKEEPING:				
	1. Crewmember:				
	a. Training				
	b. Flight & Rest Times				
	c. Qualifications				
	G. MAINTENANCE:				
	1. Aircraft Records				
	2. Personnel Training				
	3. Personnel Duty Time Limitations				
	H. FLIGHT/TRIP RECORDS				
	I. EMERGENCY AND EMERGENCY EVACUATION DUTIES AND PROCEDURES				
	J. AIRCRAFT PROVING TEST(S) AS APPLICABLE				
	K. VALIDATION TEST(S) AS APPLICABLE				
	L. PROOF OF DOT ECONOMIC				

	AUTHORITY (AIR CARRIERS ONLY)				
REMARKS:					
	V. Certification Phase				
	A. APPROVE OPERATIONS SPECIFICATIONS				
	B. PRESENT CERTIFICATE & OPSPECS TO CERTIFICATE HOLDER				
REMARKS:					
	C. PREPARE CERTIFICATION REPORT				
	1. ASSEMBLE REPORT				
	a. Preapplication Statement of Intent				
	b. Certification Job Aid				
	c. Formal Application Letter				
	d. Schedule of Events				
	e. Final Compliance Statement				
	f. Proving/Validation Test Evaluation Report				
	g. Copy of Operations Specifications				
	h. Copy of Certificate				
	i. Summary of Difficulties				
	j. Suggestions to Improve Certification Process				
	2. DISTRIBUTE REPORT				
REMARKS:					
	D. DEVELOP POSTCERTIFICATION SURVEILLANCE PROGRAM				
	1. WITHIN GEOGRAPHICAL AREA				
	2. OUTSIDE GEOGRAPHICAL AREA				
REMARKS:					

*—Denotes processes/steps that may not be required of single pilot, single pilot-in-command, or basic part 135 operators

Figure 2 – 13, Part 135 Certification Job Aid for Cabin Safety

CABIN SAFETY INSPECTOR: _____	PRECERTIFICATION NO. _____	
I. PREAPPLICATION PHASE:		
A. Attend Preapplication meeting. Applicant's representative responsible for the flight attendant and cabin safety material. NAME: _____		
B. Inform the applicant about how to obtain the following:		
1. AC 121-24C (as amended) Passenger Safety Information Briefing & Briefing Cards (14 CFR section 135.117)		
2. Exit Seating (if applicable) (14 CFR section 135.129)		
3. Flight Attendant/Cabin Safety Sections: Volume 3, Chapters 23, 32, and 33.		
4. Preparation of Flight Attendant Manual Job Aid (Volume 3, Chapter 32, Section 13, Figure 3-124.)		
5. Flight Attendant Training Job Aid (Volume 3, Chapter 23, Section 2, Figure 3-107.)		
6. Title 14 CFR part 382, Nondiscrimination On The Basis of Handicap in Air Travel		
7. Title 14 CFR part 252, Smoking Aboard Aircraft		
II. FORMAL APPLICATION PHASE:		
	Date(s) Received	Dates Accepted
A. Formal Application attachments, to include:		
1. Flight Attendant Training Programs, to include Initial, Transition & Recurrent (as applicable)		
2. Flight Attendant Manual		
3. Applicable crewmember recordkeeping documentation		
4. Exit Seat Program		
5. Passenger Briefing Cards		
6. Compliance Statements (Cabin safety related)		
7. Schedule of Events (Cabin Safety related)		
III. DOCUMENT COMPLIANCE PHASE		
A. Evaluate Applicable Manuals		
1. Flight Attendant Manual		
2. Flight Attendant Training Manual		
3. Security Program		
4. Hazardous Materials Recognition Program		
5. Passenger Briefing Cards, as applicable		

B. OTHER EVALUATIONS (as applicable)		
1. Exit Row Seating (20-30 seat on-demand or commuter 10 or more seats)		
2. Emergency and emergency evacuation duties and procedures		
3. Training Contracts (as applicable)		
4. Proving and Validation Tests (as applicable)		
IV. DEMONSTRATION & INSPECTION PHASE		
A. EVALUATE APPLICANT CONDUCTING TRAINING		
1. Flight Attendant Training Facilities		
2. Flight Attendant Training Schedules		
3. Flight Attendant Training, to include: Basic Indoctrination, Ground, HAZMAT, Emergency & Security		
4. Recordkeeping, to include: Training, Currency & Flight/Rest Times		
5. Proving and Validation Tests (as applicable)		
V. CERTIFICATION PHASE		
Coordinate with other Principal Inspectors to issue OpSpecs		